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Approved for use through 9/30/00. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM

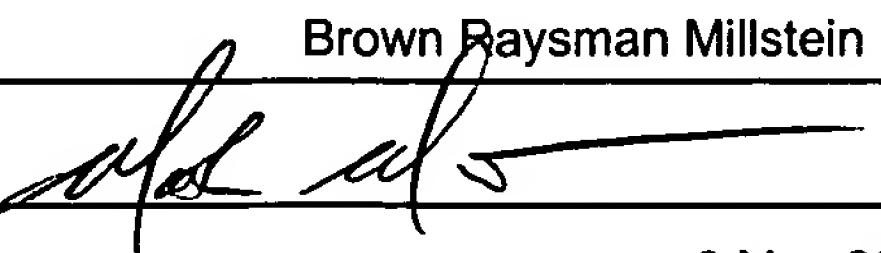
(to be used for all correspondence after initial filing)

Application Number	09/760,196
Filing Date	January 12, 2001
First Named Inventor	Susanne Vindekilde
Group Art Unit	2161
Examiner Name	Not yet assigned
Total Number of Pages in This Submission	Attorney Docket Number
	3524/12

ENCLOSURES (check all that apply)

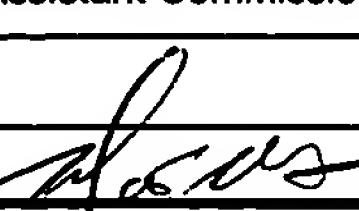
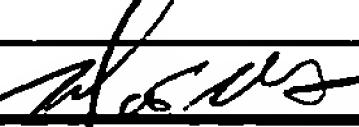
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers (for an Application) <input checked="" type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> To Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): <ul style="list-style-type: none"> - Preliminary Amendment - Request for Corrected Filing Receipt
Remarks <i>Includes substitute drawing sheets for Figures 1-9 (9 pp)</i>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Matthew J. Marquardt, Reg. No. 40,997 Brown Raysman Millstein Felder & Steiner LLP
Signature	
Date	8 May 2001

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 8 May 2001

Typed or printed name	 Matthew J. Marquardt	
Signature		Date
		8 May 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



#3

PTO/SB/17 (09-00)

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 1,588.00)

Complete if Known

Application Number	09/760,196
Filing Date	January 12, 2001
First Named Inventor	Susanne Vindekilde
Examiner Name	Not yet assigned
Group Art Unit	2161
Attorney Docket No.	3524/12

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	02-4270
Deposit Account Name	Brown Raysman Millstein Felder & Steiner LLP

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed:

Check Credit card Money Order Other

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	Surcharge - late filing fee or oath	130
127	50	Surcharge - late provisional filing fee or cover sheet	
139	130	Non-English specification	
147	2,520	For filing a request for ex parte reexamination	
112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	Requesting publication of SIR after Examiner action	
115	110	Extension for reply within first month	
116	390	Extension for reply within second month	
117	890	Extension for reply within third month	
118	1,390	Extension for reply within fourth month	
128	1,890	Extension for reply within fifth month	
119	310	Notice of Appeal	
120	310	Filing a brief in support of an appeal	
121	270	Request for oral hearing	
138	1,510	Petition to institute a public use proceeding	
140	110	Petition to revive - unavoidable	
141	1,240	Petition to revive - unintentional	
142	1,240	Utility issue fee (or reissue)	
143	440	Design issue fee	
144	600	Plant issue fee	
122	130	Petitions to the Commissioner	
123	50	Petitions related to provisional applications	
126	240	Submission of Information Disclosure Stmt	
581	40	Recording each patent assignment per property (times number of properties)	80
146	710	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	Request for Continued Examination (RCE)	
169	900	Request for expedited examination of a design application	

Other fee (specify) _____

Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 210.00)

**or number previously paid, if greater; For Reissues, see above

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Matthew J. Marquardt	Registration No. (Attorney/Agent)	40,997	Telephone	(212) 944-1515
Signature	<i>Matthew J. Marquardt</i>			Date	8 MAY 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



A3

3524/12

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : Susanne Vindekilde

Appln. No. : 09/760,196 Examiner : Not yet assigned

Filed : January 12, 2001 Group Art Unit: 2161

Title : METHOD AND SYSTEM FOR LISTING OFFERINGS OF
COMMERCIAL PAPER AND OTHER INTERESTS

BOX MISSING PARTS

Assistant Commissioner for Patents
Washington, D.C. 20231

**RESPONSE TO "NOTICE TO FILE MISSING
PARTS OF APPLICATION--FILING DATE GRANTED"**

Sir:

We acknowledge receipt of the Notice To File Missing Parts of Application--Filing Dated Granted dated March 8, 2001. Enclosed in response to said Notice are:

- Transmittal Sheet
- Fee Transmittal
- Copy of the Notice
- Executed Declaration
- Check for \$1,588 (covering filing fees of \$1,378, surcharge fee of \$130, and assignment recordal fee of \$80)
- Substitute drawing sheets for Figures 1 – 9.

The Commissioner is hereby authorized to charge any additional fees which may be required or credit any overpayment to our Deposit Account No. 02-4270.

I hereby certify that this paper, together with any paper referred to as enclosed or attached, is being deposited this date with the U.S. Postal Service as First Class Mail addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Respectfully submitted,



Dated: 8 May 2001

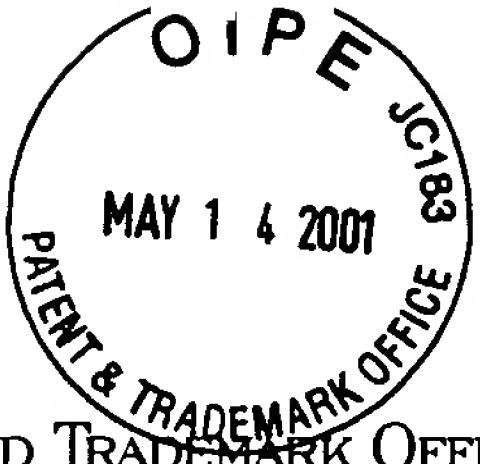
Matthew J. Marquardt
Reg. No. 40,997
BROWN RAYSMAN MILLSTEIN FELDER
& STEINER LLP
120 West Forty-Fifth Street
New York, New York 10036
(212) 944-1515

*A copy of this notice **MUST** be returned with the reply.*

(C)(1)
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/760,196	01/12/2001	Susan Vindekilde	3524/12

CONFIRMATION NO. 2676

FORMALITIES LETTER



OC000000005840944

Frank J. DeRosa
Brown Raysman Millstein Felder & Steiner LLP
120 West 45th Street
New York, NY 10036

Date Mailed: 03/08/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$668.
 - \$108 for 6 total claims over 20.
 - \$560 for 7 independent claims over 3 .
- The oath or declaration is missing.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1508.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

05/16/2001 NROCHAI 00000042 09760196
01 FC:101
02 FC:102
03 FC:103
04 FC:105



3524/12

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Susanne Vindekilde

Serial No. : 09/760,196 Examiner: Not yet assigned

Filing Date : January 12, 2001 Art Unit: 2161

Title : METHOD AND SYSTEM FOR LISTING OFFERINGS OF COMMERCIAL PAPER AND OTHER INTERESTS

**Assistant Commissioner for Patents
Washington, D.C. 20231**

REQUEST FOR CORRECTED FILING RECEIPT

Sir:

Please change the following information in the filing receipt in the Applicant(s) section.

Delete “Susan” and insert in its place –Susanne--.

A copy of the filing receipt with the change noted thereon is enclosed. Issuance of a corrected filing receipt is respectfully requested.

Respectfully submitted,

Dated: 8 May 2001

Mat J. Marquardt
Matthew J. Marquardt
Reg. No. 40,997
**BROWN RAYSMAN MILLSTEIN FELDER
& STEINER LLP**
120 West Forty-Fifth Street
New York, New York 10036
(212) 944-1515

I hereby certify that this paper is being deposited this date with the
U.S. Postal Service as First Class Mail addressed to:
Assistant Commissioner for Patents, Washington, D.C. 20231

Matthew J. Marquardt

8 MAY 2001



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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/760,196	01/12/2001	2161	0.00	3524/12	9	26	10

CONFIRMATION NO. 2676

FILING RECEIPT



OC00000005840943

Frank J. DeRosa
Brown Raysman Millstein Felder & Steiner LLP
120 West 45th Street
New York, NY 10036

Date Mailed: 03/08/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Susan Vindekilde, Residence Not Provided;
Susanne

Continuing Data as Claimed by Applicant

Foreign Applications

If Required, Foreign Filing License Granted 03/07/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

Title

System and method for listing offerings of commercial paper and other interests

Preliminary Class

705

RECORDS UPDATED
03/01/01 Pe